

TRANSMITTAL LETTER			Case No. 6270/105
Serial No. 10/752,467	Filing Date January 5, 2004	Examiner Unassigned	Group Art Unit Unassigned
Inventor(s) Ransom et al.			
Title of Invention TECHNIQUES FOR SECURING ENERGY MANAGEMENT SYSTEMS			

TO THE COMMISSIONER FOR PATENTS

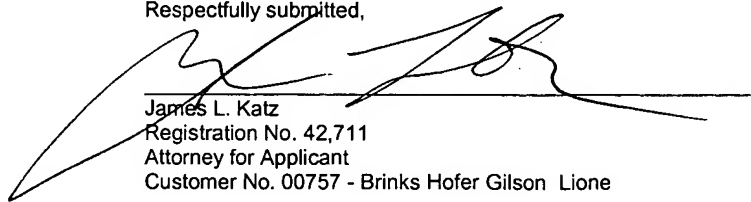
Transmitted herewith is Information Disclosure Statement; Form PTO-1449; Postcard receipt.

- ☐ Small entity status of this application under 37 CFR § 1.27 has been established by verified statement previously submitted.
- ☐ Applicant claims small entity status. See 37 CFR 1.27.
- ☐ Petition for a \_\_\_\_\_ month extension of time.
- ☒ No additional fee is required.
- ☐ The fee has been calculated as shown below:

					Small Entity		Other Than Small Entity		
	Claims Remaining After Amendment		Highest No. Previously Paid For	Present Extra	Rate	Add'l Fee	or	Rate	Add'l Fee
Total		Minus			x \$9=			x \$18=	
Indep.		Minus			x 43=			x \$86=	
First Presentation of Multiple Dep. Claim					+\$145=			+ \$290=	
					Total add'l fee	\$		Total add'l fee	\$

- ☐ Please charge Deposit Account No. 23-1925 (BRINKS HOFER GILSON & LIONE) in the amount of \$\_\_\_\_\_. A duplicate copy of this sheet is enclosed.
- ☐ A check in the amount of \$\_\_\_\_\_ to cover the filing fee is enclosed.
- ☒ The Commissioner is hereby authorized to charge payment of any additional filing fees required under 37 CFR § 1.16 and any patent application processing fees under 37 CFR § 1.17 associated with this communication or credit any overpayment to Deposit Account No. 23-1925. A duplicate copy of this sheet is enclosed.
- ☒ I hereby petition under 37 CFR § 1.136(a) for any extension of time required to ensure that this paper is timely filed. Please charge any associated fees which have not otherwise been paid to Deposit Account No. 23-1925. A duplicate copy of this sheet is enclosed.

Respectfully submitted,

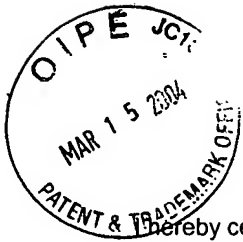
  
James L. Katz  
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Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450, on March 10, 2004.

Date: 3-10-04

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# **CERTIFICATE OF MAILING**

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March 10, 2004

Date of Deposit

James L. Katz, (Reg. No. 42,711)

Name of Applicant, Assignee or  
Registered Representative

Signature

3-10-04

Date of Signature

Our Case No.: 6270/105

## **IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re Application of:

Ransom et al.

Serial No.: 10/752,467

Filing Date: January 5, 2004

For: TECHNIQUES FOR SECURING  
ENERGY MANAGEMENT  
SYSTEMS

Examiner: Unassigned

Group Art Unit No.: Unassigned

## **INFORMATION DISCLOSURE STATEMENT**

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Dear Sir:

In compliance with the duty of disclosure under 37 C.F.R. § 1.56, it is respectfully requested that this Information Disclosure Statement be entered and the documents listed below and on the attached Form PTO-1449 be considered by the Examiner and

made of record. Copies of the listed documents required by 37 C.F.R. § 1.98(a)(2) are enclosed for the convenience of the Examiner.

The references now cited are the following:

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In accordance with 37 C.F.R. § 1.97(g),(h), this Information Disclosure Statement is not to be construed as a representation that a search has been made and is not to be construed to be an admission that the information cited is, or is considered to be, material to patentability as defined in 37 C.F.R. § 1.56(b).

Applicants have attempted to provide the earliest known publication date for each reference, however, these documents may have existed prior to the stated date. For those references whose earliest publication dates could not be determined, Applicants believe they were published prior to January 9, 2003.

This Information Disclosure Statement is being filed prior to the receipt of the first Official Action reflecting an examination on the merits and hence is believed to be timely filed in accordance with 37 C.F.R. § 1.97(b). No fees are believed to be due in connection with filing of this Information Disclosure Statement, however, should any fees under 37 C.F.R. §§ 1.16 to 1.21 be deemed necessary for any reason relating to these material, the Commissioner is hereby authorized to deduct said fees from Brinks Hofer Gilson & Lione Deposit Account No. 23-1925. A duplicate copy of this document is enclosed.

This application is a continuation-in-part application of U.S. Serial No. 09/723,564, filed November 28, 2000 and is relied upon for an earlier filing dated under 35 U.S.C. § 120. In accordance with Rule 37 C.F.R. § 1.98(d) only copies of documents not previously cited and submitted to the Patent and Trademark Office in the prior application Serial No. 09/723,564 are enclosed for the convenience of the Examiner.

Applicant(s) respectfully request that the listed documents be made of record in the present case.

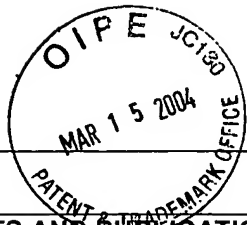
Respectfully submitted,



James L. Katz  
Registration No. 42,711  
Attorney for Applicant(s)

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FORM PTO-1449	SERIAL NO. 10/752,467	CASE NO. 6270/105
<b>LIST OF PATENTS AND PUBLICATIONS FOR APPLICANT'S INFORMATION DISCLOSURE STATEMENT</b>	FILING DATE January 5, 2004	GROUP ART UNIT Unassigned
(use several sheets if necessary)		APPLICANT(S): Ransom et al.

**REFERENCE DESIGNATION**
**U.S. PATENT DOCUMENTS**

EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS/ SUBCLASS	FILING DATE
	A1	4,589,075	05/13/86	Buennagel	364/492	02/23/83
	A2	4,641,248	02/03/87	Suzuki et al.	364/492	11/16/83
	A3	5,448,229	09/05/95	Lee, Jr.	340/870.02	12/28/92
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	A10	5,680,324	10/21/97	Schweitzer, III et al.	364/514	04/07/95
	A11	5,699,276	12/16/97	Roos	364/514	12/15/95
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	A17	6,035,285	03/07/00	Schlect et al	705/30	03/05/99
	A18	6,088,659	07/11/00	Kelley et al	702/62	05/21/98
	A19	6,118,269	09/12/00	Davis	324/110	04/15/97
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	A23	6,259,972 B1	07/10/01	Sumic et al.	700/286	01/16/98
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## FOREIGN PATENT DOCUMENTS

EXAMINER INITIAL	DOCUMENT NUMBER	DATE	COUNTRY	CLASS/ SUBCLASS	TRANSLATION YES NO

EXAMINER INITIAL	OTHER ART (Including Author, Title, Date, Pertinent Pages, etc.)	
	A36	Questra Applications Summary Data Sheet, pp. 1-2, 07/02/02.
	A37	Tridium™ Vykon™ Energy "JACE-401™" Product Data Sheet, pp. 1-2, 09/16/02.
	A38	Tridium™ Vykon™ Energy "Vykon Energy Profiler" Product Data Sheet, pp. 1-4, 10/16/01.
	A39	Schneider Electric Square D "Web-Enabled Power Management Solutions" brochure, pp. 1-8, January 2002
	A40	Tridium™ Vykon™ Building "Vykon™ Alarm Service" Product Data Sheet, pp. 1-2, 06/20/02.
	A41	Tridium™ Vykon™ Building "JACE-512™" Product Data Sheet, pp. 1-2, 05/15/02.
	A42	Tridium™ Vykon™ Building "JACE-511™" Product Data Sheet, pp. 1-2, 05/28/02.
	A43	Vykon™ By Tridium "JACE-NP-1®" Product Data Sheet, pp. 1-2, 05/28/02.
	A44	Vykon™ By Tridium "WorkPlace Pro™" Product Data Sheet, pp. 1-2, 01/12/01.
	A45	Vykon™ Building "Web Supervisor™" Product Data Sheet, pp. 1-2, 11/30/01.
	A46	A8800-1 AcquiSuite Data Acquisition System specification, pp. 1-2, 09/24/01.
	A47	LiveData® Real-Time Data Management For Energy and Utility Companies brochure, pp. 1-4, ©copyright 2002, Rev. 01/2002.
	A48	Tridium™ Vykon™ Energy "With the Right Tools Energy Costs are Controllable..." brochure, pp. 1-8, 11/01/01.
	A49	EnergyView™ "Energy Aggregation & Information System (EAIS) for Monitoring and Analysis of Electric and Gas Demand", selected pages from an EnergyView website <a href="http://66.64.38.69/energyview">http://66.64.38.69/energyview</a> , pp. 1-4, 10/30/01.
	A50	Power Monitoring home page, obtained from <a href="http://www.parijat.com/Power_Monitoring.htm">http://www.parijat.com/Power_Monitoring.htm</a> , 10/09/02, one page,
	A51	Press Release 24 Aug. 2000 "Connect One Announces Industry's First Wireless Chip to Connect Mobile Devices to the Internet", pp. 1-2.
	A52	Press Release, "Connect One and NAMS Create the World's First Dial-up Energy Meter that Sends and Receives E-Mail Without a Gateway", September 5, 2000, pp. 1-2.
	A53	NAMS Metals by Nisko, NMM-AKB Specifications page 1 of 1, September 5, 2000.
	A54	Connect One "Automatic Meter Reading via the Internet", pp. 1-2. July 11, 2001
	A55	iModem™ "The Fastest Way to Internet-Enable any Device", pp. 1-3. July 11, 2001
	A56	ConnectOne™ Connecting your Device to the Internet™ iChip™ The Internet in your palm™, pp. 1-6. July 11, 2001.
	A57	Engage Networks Launches Energy Management Venture, obtained at internet address <a href="http://www.engagenet.com/content/business_journal.shtml">http://www.engagenet.com/content/business_journal.shtml</a> , 09/20/00. Appeared in Business Journal Feb 11, 2000.
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EXAMINER INITIAL	OTHER ART (Including Author, Title, Date, Pertinent Pages, etc.)	
	A59	Engage Networks Inc. "Internet Protocol Card for Revenue Meters" brochure, pp. 1-2. Link present as of Mar 3, 2000 on <a href="http://web.archive.org/web/20010306005433/www.engagenet.com/content/products.shtml">http://web.archive.org/web/20010306005433/www.engagenet.com/content/products.shtml</a> . Original document archived at <a href="http://web.archive.org/web/20030520161648/http://www.engagenet.com/datasheets/ipcard.pdf">http://web.archive.org/web/20030520161648/http://www.engagenet.com/datasheets/ipcard.pdf</a> on May 20, 2003.
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	A61	David W. Giles, "Direct-Access Metering Via the Web", 1998 CEA Conference, Toronto, Canada, pp. 1-19, © 1998 Power Measurement Ltd. Conference April 27-29/1998. Presented April 29/1998
	A62	GE Industrial Systems "EnerVista.com" brochure, 09/2000.
	A63	Press release, Santa Clara, CA 09/25/2000 "Connect One Reduces Time, Cost and Complexity to Connect Internet Appliances to Ethernet Lans", obtained at internet address <a href="http://www.connectone.com/html/prlsep25_2000.htm">http://www.connectone.com/html/prlsep25_2000.htm</a> .
	A64	Year 2000 Rediness Disclosure Arcom Control Systems, "Apex", obtained at internet address <a href="http://www.arcomcontrols.com/products/pcp/pcp10.htm">http://www.arcomcontrols.com/products/pcp/pcp10.htm</a> . Document archived at <a href="http://web.archive.org/web/20000530063150/www.arcomcontrols.com/products/pcp/pcp10.htm">http://web.archive.org/web/20000530063150/www.arcomcontrols.com/products/pcp/pcp10.htm</a> on May 30, 2000.
	A65	Dranetz BMI, Signature System™ "Information, Knowledge, Power" brochure. Applicants believe this reference was published prior to January 9, 2003.
	A66	Signature System™ Basics, obtained at internet address <a href="http://www.signaturesystem.com/sigbasics.html">http://www.signaturesystem.com/sigbasics.html</a> , 3/26/01. pp. 1-2.
	A67	Signature System™ InfoNodes, obtained at internet address <a href="http://www.signaturesystem.com/infonode.html">http://www.signaturesystem.com/infonode.html</a> , 3/26/01. pp. 1-2.
	A68	Questa A2B.Platform™ brochure, "Enabling conversation through universal connectivity", pp. 1-4, located at <a href="http://www.questra.com/h1_products/Questa_A2Bplatform">http://www.questra.com/h1_products/Questa_A2Bplatform</a> . Applicants believe this reference was published prior to January 9, 2003.
	A69	Questa A2B.Sales™ brochure, "Conversation to help you win", pp. 1-2, located at <a href="http://www.questra.com/h1_products/Questa_A2Bsales">http://www.questra.com/h1_products/Questa_A2Bsales</a> . Applicants believe this reference was published prior to January 9, 2003.
	A70	Power Point Presentation: Presented at "Metering Europe 2000," September 5-7,2000, source <a href="http://www.energyict.com/fh/media/Presentation_Metering2000Munchen5.zip">http://www.energyict.com/fh/media/Presentation_Metering2000Munchen5.zip</a> , pp. 1-37.
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EXAMINER INITIAL	OTHER ART (Including Author, Title, Date, Pertinent Pages, etc.)	
	A72	Brochure, EiServer, The Energy Information server, source <a href="http://www.energyict.com/fh/media/EiServer.pdf">http://www.energyict.com/fh/media/EiServer.pdf</a> , pp. 1-7, 7/14/00. Link present on or before Feb 7, 2001.
	A73	Advertisement, EiServer and RTU+Server, source, Metering International - 2001 Issue 1, page 19, publish date 1 <sup>st</sup> Quarter 2001, p. 1.
	A74	Article, "Providing Tomorrow's Energy Management and Metering Tools Today," source, Metering International - 2001 Issue 1, page 18, publish date 1 <sup>st</sup> Quarter 2001, p. 1.
	A75	"Email relating to the general technology of the application received from a competitor", from Erich W. Gunther [mailto:erich@electrotek.com] to Brad Forth@pml.com sent 5/9/01 3:36pm, pp. 1-2.
	A76	Electro Industries Press Release "Nexus 1250 High-Performance Power Monitor Gains Ethernet TCP/IP Capabilities," obtained at internet address <a href="http://www.electroindustries.com/feb5.html">http://www.electroindustries.com/feb5.html</a> , Feb. 5, 2001 pp. 1-2.
	A77	Electro Industries "Nexus 1250 for Industry and Utilities," brochure, obtained at internet address <a href="http://www.electroindustries.com/pdf/nxsbrochure.pdf">http://www.electroindustries.com/pdf/nxsbrochure.pdf</a> pp. 1-14 printed 06/01/01.
	A78	NetSilicon Solutions on Chip "NET+ARM™ Ethernet Processors" brochure, obtained at internet address <a href="http://www.netsilicon.com/EmbWeb/products/netarm.asp">http://www.netsilicon.com/EmbWeb/products/netarm.asp</a> , pp. 1-2, Copyright© 2001 NetSilicon, Inc. Document archived <a href="http://web.archive.org/web/20010719171514/www.netsilicon.com/embweb/products/netarm.asp">http://web.archive.org/web/20010719171514/www.netsilicon.com/embweb/products/netarm.asp</a> on July 19/2001 on July 19, 2001
	A79	EmWare® "Solutions Device Link," brochure, obtained at internet address <a href="http://www.emware.com/solutions/devicelink/">http://www.emware.com/solutions/devicelink/</a> , pp. 1-3, printed 06/01/01. Document archived <a href="http://web.archive.org/web/20010524222001/www.emware.com/solutions/devicelink/">http://web.archive.org/web/20010524222001/www.emware.com/solutions/devicelink/</a> May 24, 2001.
	A80	iReady® "Technology iReady's Hardwired TCP/IP Stack," homepage, obtained at internet address <a href="http://www.iready.com/">http://www.iready.com/</a> , p. 1, ©2000-2001 iReady corporation, printed 06/01/01. First publishes as early as March 1, 2001. <a href="http://web.archive.org/web/20010515202409/http://www.iready.com/">http://web.archive.org/web/20010515202409/http://www.iready.com/</a> link on right side to "technology/index.html" captured March 15, 2001.
	A81	muNet News & Events Press Releases "muNet makes cable industry debut with its WebGate™ Internet Residential and Commercial Information Systems, and HomeHeartBeat", <a href="http://www.munet.com">http://www.munet.com</a> , pp. 1-2, 12/15/99.
	A82	muNet News & Events Press Releases "muNet's WebGate™ Systems Finds a Home on the Internet!" <a href="http://www.munet.com">http://www.munet.com</a> , pp. 1-2, 03/18/99.
	A83	webGate™ IRIS Technology, products brochure pp. 1-9. Applicants believe this reference was published prior to January 9, 2003.
	A84	MuNet News & Events Press Release "muNet Demonstrates End-to-Enc IP-Based Energy Management System at DistribuTECH," Feb. 5, 2000, pp 1-2.
	A85	WebGate™ IRIS™ "Internet Residential Information System," p. 1 of 1 Published in Energy IT November/December 2000 Technology Info Center. See <a href="http://www.platts.com/infotech/issues/0011/eittic0011.shtml">http://www.platts.com/infotech/issues/0011/eittic0011.shtml</a> for this reference - search for munet.com.

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EXAMINER INITIAL	OTHER ART (Including Author, Title, Date, Pertinent Pages, etc.)	
	A86	WebGate™ ICIS™ "Internet Commercial Information System," p. 1 of 1 Published in Energy IT November/December 2000 Technology Info Center. See <a href="http://www.platts.com/infotech/issues/0011/eittic0011.shtml">http://www.platts.com/infotech/issues/0011/eittic0011.shtml</a> for this reference - search for mUNET.com.
	A87	F. Momal, C. Pinto-Pereira, "Using World-Wide-Web for Control Systems" Abstract, AT Division CERN, 1211 Geneva 23, 6 pages. Published 1995.
	A88	P. M. Corcoran, J. Desbonnet and K. Lusted "THPM 14.2 "CEBus Network Access via the World-Wide-Web" Abstract, ©1996 IEEE, pp. 236 & 237.
	A89	ATI Systems, "Technical Overview Ethernet SCAN II™ Module" specification, October 1994, 2 pages.
	A90	J. Hofman, "The Consumer Electronic Bus: An Integrated Multi-Media LAN for the Home", International Journal of Digital and Analog Communication Systems, Vol. 4, 77-86 (1991), ©1991 by John Wiley & Sons, Ltd.
	A91	Lucent Technologies "AT&T Forms Expert Team to Design Utility Industry Solutions, press release, Monday, January 23, 1995, pp. 1&2.
	A92	Newsbytes Inc., Tampa, FLA, April 13, 1995 pNEW04130013 "TECO & IBM – The "Smart House" Is Here" Press release, obtained at <a href="http://filebox.vt.edu/users/mikemike/smart-house/infotrac/article4.txt">http://filebox.vt.edu/users/mikemike/smart-house/infotrac/article4.txt</a> , 7/11/02, pp. 1&2
	A93	Distributed.Net, <a href="http://n0cgi.distributed.net/faq/cache/178.html">http://n0cgi.distributed.net/faq/cache/178.html</a> , printed June/10/2003. Link archived at <a href="http://web.archive.org/web/20000901052607/n0cgi.distributed.net/faq/cache/178.html">http://web.archive.org/web/20000901052607/n0cgi.distributed.net/faq/cache/178.html</a> on Sept 01, /2000.
	A94	Questa, Security overview, obtained <a href="http://www.questra.com/products/security.asp">http://www.questra.com/products/security.asp</a> , printed June 10, 2003. 2 pages. Applicants believe this reference was published prior to January 9, 2003.
	A95	Questa Mastering Smart Security brochure, 2 pages Copyright 2002 Questa Corporation, obtained <a href="http://www.questra.com/collateral/collateral_files/SecurityOverview.pdf">http://www.questra.com/collateral/collateral_files/SecurityOverview.pdf</a> , printed June 10, 2003. Applicants believe this reference was published prior to January 9, 2003.
	A96	Questa Total Access brochure, 2 pages, Copyright 2003 Questa Corporation, obtained <a href="http://www.questra.com/collateral/collateral_files/TotalAccess.pdf">http://www.questra.com/collateral/collateral_files/TotalAccess.pdf</a> , printed June 10, 2003. Applicants believe this reference was published prior to January 9, 2003.
	A97	Axeda DRM System Overview, 2 pages, obtained <a href="http://www.axeda.com/solutions/overview.html">http://www.axeda.com/solutions/overview.html</a> , printed June 9, 2003. Applicants believe this reference was published prior to January 9, 2003.
	A98	Axeda Access, 3 pages, obtained <a href="http://www.axeda.com/solutions/portals/portal_access.html">http://www.axeda.com/solutions/portals/portal_access.html</a> , printed June 9, 2003. Applicants believe this reference was published prior to January 9, 2003.
	A99	Axeda DRM Technology Overview, 1 page, obtained <a href="http://www.axeda.com/solutions/tech_challenges/firewallfriendly.html">http://www.axeda.com/solutions/tech_challenges/firewallfriendly.html</a> , printed June 9, 2003. Applicants believe this reference was published prior to January 9, 2003.

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	A100	Axeda DRM Technology Overview, 1 page, obtained <a href="http://www.axeda.com/solutions/tech_challenges/index.html">http://www.axeda.com/solutions/tech_challenges/index.html</a> , printed June 9, 2003. Applicants believe this reference was published prior to January 9, 2003.
	A101	Axeda DRM Technology Overview, 1 page, obtained <a href="http://www.axeda.com/solutions/tech_challenges/standards.html">http://www.axeda.com/solutions/tech_challenges/standards.html</a> , printed June 9, 2003. Applicants believe this reference was published prior to January 9, 2003.
	A102	Axeda Solutions for Industry, 1 page, obtained <a href="http://www.axeda.com/solutions/industries/industrial.html">http://www.axeda.com/solutions/industries/industrial.html</a> , printed June 9, 2003. Archived at <a href="http://web.archive.org/web/20020221165907/http://axeda.com/industries/industrial.html">http://web.archive.org/web/20020221165907/http://axeda.com/industries/industrial.html</a> on Feb 21, 2002.
	A103	Axeda Agents, 2 pages, obtained <a href="http://www.axeda.com/solutions/device_servers/index.html">http://www.axeda.com/solutions/device_servers/index.html</a> , printed June 9, 2003. Applicants believe this reference was published prior to January 9, 2003.
	A104	Axeda Case Studies, "Axeda Prevents Power Failures at a Leading Microprocessor Plant in Israel", 2 pages, obtained <a href="http://www.axeda.com/industries/casestudies_microprocessor.html">http://www.axeda.com/industries/casestudies_microprocessor.html</a> , printed June 9, 2003. Applicants believe this reference was published prior to January 9, 2003.
	A105	David Mueller and Sandy Smith, Electrotek Concepts, "Using Web-based Power Quality Monitoring for Problem Solving and Improving Customer Relations", proceedings of the 4 <sup>th</sup> Annual Latin American Power 99 Conference, Jun. 29, 1999, pp. 263-271.

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